



USAID | RWANDA

FROM THE AMERICAN PEOPLE

Issuance Date:	Monday, February 7, 2011
RFA Clarification Questions Due:	Monday, February 21, 2011
Closing Date & Time for Application Submission:	Monday, March 21, 2011 3:00 p.m. (Kigali Time)

**Subject: Request for Applications (RFA) No. USAID-RWANDA-RFA-696-11-000002
INTEGRATED IMPROVED LIVELIHOODS PROGRAM (IILP) - RWANDA**

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding to support a program entitled "Integrated Improved Livelihoods Program (IILP) in Rwanda. The main objective of this program is *to improve livelihoods of Rwanda's very poor, particularly women, through expansion of responsible and appropriate access to finance, increased economic opportunities and incomes, and enhanced food consumption*. The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective as described in the program description. Please refer to the Program Description (RFA Section C) for a complete statement of goals and expected results.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the Cooperative Agreement.

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

Subject to the availability of funds, USAID intends to provide approximately US\$13.4 million in total USAID funding to be allocated over the five year period. There is a minimum cost share requirement for this RFA is 10% of the total USAID funds. USAID reserves the right to fund any or none of the applications submitted in response to this RFA.

Awards will be made to the responsible applicant whose application offers the greatest value to the U.S. Government. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application.

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. Agency for International Development" and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

Applicants should also note that the documents listed in this RFA under "Useful References" are intended only as sources for background information that may be helpful to applicants, but are not a part of this RFA. All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. Any clarification questions concerning this RFA should be submitted in writing to Lauralea Gilpin, the Regional Agreement Officer via email at lgilpin@usaid.gov by the date listed above. **No questions will be responded to after Monday, February 21, 2011.** If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

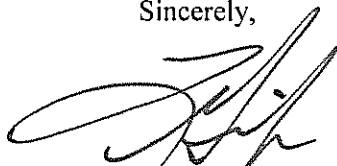
The applicant shall submit applications electronically via e-mail in two separate parts: (a) technical, and (b) cost or business application to Lauralea Gilpin, the Regional Agreement Officer at lgilpin@usaid.gov and a copy to JoAnn Sparacino at jsparacino@usaid.gov.

Applications must be received by the closing date and time indicated at the top of this cover letter. Late applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications (entire proposal) are not authorized for this RFA and will not be accepted.

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to the grants.gov opportunity. It is the responsibility of the recipient of the application document to ensure that it has been received from <http://www.grants.gov> in its entirety.

The federal grant process is now web-enabled, allowing for applications to be received on-line on the grants.gov website, <http://www.grants.gov>. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

Sincerely,

A handwritten signature in black ink, appearing to read 'L. Gilpin', with a stylized flourish at the end.

Lauralea Gilpin
Regional Agreement Officer
USAID/EAST AFRICA

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AWARD INFORMATION

USAID expects to award one cooperative agreement based on this RFA. The anticipated total federal funding amount is \$13,400,000. The period of performance is o/a July 2011 to July 2016 with an anticipated start date of July 1, 2011.

The Government may issue one award resulting from this RFA to the responsible applicant whose application conforming to this RFA is the most responsive to the objectives set forth in this RFA and which offers the greatest value. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

The Government may make award on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. The Government reserves the right (but is not under obligation to do so), however, to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement(s).

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed award may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer.

USAID will be substantially involved during the implementation of this Cooperative Agreement in the following ways:

1. Approval of the recipient's annual work plans, reports, monitoring and evaluation plan, and all modifications that describe the specific activities to be carried out under the Cooperative Agreement;
2. Approval of and any changes to specified key personnel; and
3. Agency and recipient collaboration or joint participation (collaborative involvement in selection of advisory committee members, concurrence on selection of sub-award recipients, and/or the substantive provisions of the sub-awards).

SECTION A - APPLICATION FORMAT

PREPARATION GUIDELINES

- a. All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the guidelines herein. Section B addresses the evaluation procedures for the applications. Applications shall be submitted by e-mail in two separate parts: (a) technical, and (b) cost or business application as described in the cover letter of this RFA.
- b. Applications must be received no later than the date and time indicated on the cover page of this RFA, to the location stated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. Such late or incomplete applications will be considered in USAID's sole discretion depending on the status of USAID's application review process as of the time of receipt and/or the quality of other applications received.
- c. Technical applications should be specific, complete and presented concisely. A lengthy application does not in and of itself constitute a well thought out proposal. Applications shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Applications should take into account the evaluation criteria found in Section B.
- d. Explanations to Prospective Recipients: Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing to the Regional Agreement Officer at the e-mail address set forth in the RFA cover letter. The questions and answers (Q&A) will be posted as an amendment to the RFA on www.grants.gov. **The deadline for receipt of questions is Monday, February 21, 2011.** Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective recipient concerning this RFA will also be furnished to all other prospective recipients as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective recipients.
- e. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. To facilitate the competitive review of the applications, applications should conform to the format prescribed below.
- f. Submission of Applications by e-mail: Software for e-mail attachments: Microsoft Word (for narrative text) or Excel (for tables). Please convert your documents to one of these software programs before sending them to USAID. Zipped files cannot be accepted due to firewall restrictions; however, PDF files (for all files except budgets) are acceptable. Applicants are responsible for confirming that their complete applications were received electronically by USAID.
- g. Telegraphic or fax applications will not be considered.
- h. Preparation of Applications:
 - 1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications.

3. Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages____"; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

I. TECHNICAL APPLICATION FORMAT

The application is limited to 40 pages, **OVER 40 PAGES WILL NOT BE EVALUATED**, and typed on standard 8 1/2" x 11" or A4 sized paper with each page numbered consecutively. Items such as graphs, charts, cover pages, dividers, table of contents, and attachments (i.e. key personnel resumes, table summarizing qualifications of proposed personnel, past performance summary table and past performance report forms) are not included in the 40-page limitation.

The technical application shall follow the following format:

1. Cover Page (*not included in page limit*)

- Name of organization(s) submitting application
- Name and title of contact person
- Telephone and fax numbers
- Postal and physical addresses
- E-mail address (if available)

2. Executive Summary (*1 pages maximum*)

3. Technical Approach (*30 pages maximum total*) including bulleted sub-sections below. This section should address the project summary and objectives in Section C of this document and should include:

- *Background Knowledge (3 pages maximum)*
- *Programmatic Approach, Implementation Mechanisms and Expected Results. (18 pages maximum)*
- *Partnerships and Participation. (3 pages maximum)*

- *Monitoring and Evaluation Plan (5 pages maximum)*
- *Gender (1 page maximum)*

4. Management and Staffing (5 pages maximum)

A summary of how the project will be managed, and how decisions will be made with collaborating partners. Short CVs (3 page maximum per CV) of key personnel from all relevant institutions can be included in Annexes.

5. Institutional Capacity and Past Performance (4 pages maximum)

6. Annexes (not included in page limit)

Maps of the Activity Area, relevant letters of support, short CVs for key personnel (two page maximum per individual), timeline, and relevant assessments may be included and will not count towards the page limit (i.e. a letter of support from a local government or community organization, a letter from a partnering organization expressing their intention to engage in a partnership, or a letter from a public or private donor making a funding commitment). Letters of support from key partners are required.

II. COST APPLICATION FORMAT

The Cost or Business Application shall be submitted separately from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

- A. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. Detailed budget notes and supporting justification of all proposed budget line items should be included. In addition, a summary of the budget must be submitted using Standard Form 424 and 424A.

The budget shall include:

1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
2. The breakdown of all costs according to each partner organization or subcontractor/subgrantee involved in the program;
3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
4. The breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
5. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;

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6. A procurement plan for commodities.
- B. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government;
- C. Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
 1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 2. Projected budget, cash flow and organizational chart; and
 3. A copy of the organization's accounting manual.
- D. Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
 1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
 3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
 4. Has a satisfactory record of integrity and business ethics; and
 5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).
- E. **Cost Sharing or Matching:** The minimum cost share for this RFA is **10%** of the total USAID funds. Applications with a cost share less than this are non-responsive and will not be considered for award.
- F. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual, personnel policies, travel policies, and procurement policies, and audits received for the past three years. If this material has already been submitted to the U.S. Government, the applicant should advise which Federal Agency has a copy.
- G. **Certificate of Compliance:** Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance (M/OAA, formerly known as M/OP).
- H. Required certifications and representations (as attached in Section D of this RFA).

III. COOPERATIVE AGREEMENT AWARD

A written award mailed or otherwise furnished to the successful applicant within the time for acceptance specified either in the application or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

IV. REFERENCES

Applicable Regulations & References

- Mandatory Standard Provisions for U.S. Nongovernmental Recipients
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226
http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html
- OMB Circular A-122
<http://www.whitehouse.gov/omb/circulars/a122/a122.html>
- OMB Circular A-110
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- ADS Series 300 Acquisition and Assistance
<http://www.usaid.gov/pubs/ads/>
- SF-424 Downloads
http://www.grants.gov/agencies/aapproved_standard_forms.jsp

V. SPECIAL CONSIDERATIONS

The Standard Provisions for U.S. NGOs and Non-U.S. NGOs referenced above under Section IV, are required to be used when applicable. The following Standard Provisions are provided below in full text:

- Marking Under Assistance Instruments
- Executive Order on Terrorist Financing
- Anti-Trafficking Activities
- USAID Disability Policy

MARKING UNDER ASSISTANCE INSTRUMENTS (DEC 2005)

BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) **Submission.** The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) Submission Requirements

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(1) Positioning

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].*

Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo. Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers*

What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required. *Please provide any additional ideas about how to increase awareness that the American people support this project or program.*

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) **Award Criteria.** The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or subawards.

A **Presumptive Exception** exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

(b) **Submission.** The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) **Submission Requirements.** The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

(ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

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(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the recipient will mark with the USAID Identity,

(ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness.

In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) **Award Criteria:** The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or subagreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and

promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brand mark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more

prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Subrecipients. To ensure that the marking requirements “flow down” to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

“As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 45 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements of this provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers “flow down” to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer’s cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer’s waiver determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

**IMPLEMENTATION OF E.O. 13224 -- EXECUTIVE ORDER ON TERRORIST FINANCING
(MARCH 2002)**

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all contracts/subawards issued under this agreement.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:

http://pdf.dec.org/pdf_docs/PDABQ631.pdf

b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicant should address in the application and (b) set the standard against which the application will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria set forth below. USAID reserves the right to determine the resulting level of funding for the agreement award.

The application is limited to 40 pages, OVER 40 PAGES WILL NOT BE EVALUATED, and typed on standard 8 1/2" x 11" or A4 sized paper with each page numbered consecutively. Items such as graphs, charts, cover pages, dividers, table of contents, and attachments (i.e. key personnel resumes, reply to case studies, table summarizing qualifications of proposed personnel, past performance summary table and past performance report forms) are not included in the 40-page limitation.

The technical application will be evaluated in accordance with the Technical Evaluation Criteria set forth below. The cost/business application will be evaluated by the Agreement Officer for general reasonableness, cost realism, allowability and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicant whose application offers the greatest value, cost and other factors considered.

A. TECHNICAL EVALUATION CRITERIA (100 POINTS)

TECHNICAL APPROACH (75 POINTS)

Background knowledge (10 points): The applicant demonstrates a clear understanding of low income population challenges including women and other vulnerable groups in terms of rural based poverty, children malnutrition, adult literacy and numeracy and agricultural extension services in Rwanda. The proposal should include description of the microfinance sector and access to finance situation for the rural and vulnerable population.

Overall strategy (20 points): The applicant should present existing approaches and introduce new approaches that allow increase of economic opportunities in agricultural as well as non-agricultural areas, improve nutrition status of households especially children under five, develop literacy and numeracy skills among the target beneficiaries, increase access to rural finance and then address identified constraints in both the demand and supply of financial services in the targeted geographical area. The applicant shall demonstrate technical knowledge, analytical depth, and a logical, performance and results-based approach that addresses the objectives of the program. The approach is feasible, realistic and present cost effective solutions within the situational and temporal context. In addition, the approach should propose innovative interventions that have a high probability of sustainability especially where agricultural extension services do not exist in the targeted geographical areas. The applicant should emphasize on high visibility, low risk activities with high probabilities of success and durable benefits to beneficiaries.

Monitoring and evaluation plan (15 points): The approach includes a plan for monitoring activities, explicit performance targets, benchmarks and proposed indicators to be monitored. Baselines for proposed indicators are highly regarded. The plan should describe the process for data collection and monitoring, and discuss how efforts under this cooperative agreement will contribute to longer-term impact monitoring.

Collaboration and Leveraged Resources (15 points): The approach includes a proposed plan of collaboration and partnership with other USAID activities, other United States Government (USG) agencies, and other Government of Rwanda (GOR) implemented projects; other donors and organizations to further the objectives of the project. Project will clearly demonstrate active participation, responsibility and benefits-sharing across USG programs and implementing partners. The applicant shall have a demonstrated ability to identify and initiate project related public-private partnerships.

Institutional Capacity and Past Performance(10 points): The applicants will describe the organizations' (including the prime and the consortium organizations members) institutional ability and experience that will enable it to successfully complete proposed work, including the ability to specifically address the requirements as indicated in the evaluation criteria. Institutional capacities should be described for all key partners (e.g. Expected to contribute to at least 20% of the work) The applicant shall include a minimum of two past performance references in the past five years for current public or private sector efforts similar to the proposed work as it relates to the Program Description. The reference information shall include the location, current telephone number, e-mail addresses, point of contact, award number, dollar value, and brief description of work performed and significant achievements.

Gender (5 points): The applicant clearly identifies gender issues, innovative strategies and specific activities to address these issues, and mainstreams these activities throughout the program design, implementation, and monitoring and evaluation plan.

MANAGEMENT AND STAFFING (25 points)

Management and Implementation (10 points): The overall plan for the management and implementation of the project is feasible, includes a sound management and organizational structure, and demonstrates coordination with existing feed the future programs and all relevant stakeholders. The applicant should present sound and coherent adaptive project management mechanisms.

Key Personnel (15 points): The key personnel at both the prime and the consortium organizations members' proposed convey the appropriate breadth and depth of expertise to manage and implement the proposed approach in each of the areas of activity to be covered by this program. Given the complexity of the activities integration and consolidation, an organizational chart is recommended to describe clearly the link between position and the key staff responsibilities. The proposed staffing should have some African countries experience and be capable of carrying out project and ensuring long term by building capacity of the staff.

The key personnel are listed as follow:

- 1) COP or Country Director with a minimum of 15 years in microfinance and project management;
- 2) Behavioral Change Specialist with 7 years of African experience working in behavioral change.
- 3) M&E Specialist, a local with an experience of at least 6 years.

COST EVALUATION:

Cost has not been assigned a score but will be evaluated for cost, reasonableness, allocability, allowability, cost effectiveness and realism, adequacy of budget detail and financial feasibility and cost sharing. While cost may be a determining factor in the final award decision, the technical merit of applications is substantially more important under this RFA. The percentage of funds spent on programming versus administrative costs will be taken into consideration, i.e. the cost of staff salaries, equipment, and facilities vs. costs of field activities and interventions that directly impact the target

beneficiaries. A 10% cost share is encouraged. Applications providing the best value to the Government, including cost share, will be more favorably considered for award.

SECTION C – PROGRAM DESCRIPTION

Integrated Improved Livelihoods Program (IILP) - Rwanda

I. PROBLEM STATEMENT

Despite considerable progress since the 1994 civil war, Rwanda continues to face an undercapitalized agricultural sector with a growing population and a financial sector that is not currently able to address the needs of the growing country as a whole and particularly financial service needs in rural areas. To address these issues there is a need to focus on activities that help to expand economic opportunities in rural areas. The table below provides the 2006 Poverty Headcount (share of population and number) and shows that there is a distinct increase in poverty found within rural communities.

First and Second Integrated Household Survey on Living Conditions (EICV1 and EICV2)				
	Poverty Headcount		Number of poor	
	EICV1	EICV2	EICV1	EICV2
Upper Poverty Line				
Kigali	16.10%	13.00%	0.11	0.09
Other Urban	46.50%	41.50%	0.29	0.36
Rural	66.10%	62.50%	4.43	4.93
National	60.40%	56.90%	4.82	5.38
Extreme Poverty Line				
Kigali	8.40%	6.30%	0.006	0.04
Other Urban	28.50%	25.30%	0.18	0.22
Rural	45.70%	40.90%	3.06	3.23
National	41.30%	36.90%	3.3	3.49
Source: NISR (2006)				

A 2006 survey that was conducted by the World Food Program, in collaboration with the National Institute of Statistics of Rwanda, found 28% of the rural populations to be food-insecure and as much as 24% of the rural population highly vulnerable to food insecurity.¹ Agriculture-led growth helps to reduce extreme hunger and poverty, helping to increase and improve economic opportunities and household food security in rural areas. Agriculture-led growth is primarily achieved through improvements in agricultural productivity, expanded markets and trade (internationally and domestically) and through

increasing economic resilience in vulnerable communities.

Deep poverty means that households cannot afford to meet food needs and other basic necessities: the ultra-poor cannot meet even 60% of these needs.² While market access and purchasing power contribute significantly to food insecurity,³ other problems include crop production constraints and inability of small, poor farm households to obtain adequate margins on the sale of their products or participate in farming higher value cash crops. However, current government and donor approaches for expanding economic opportunities in rural areas are not creating (and cannot create) enough rural economic opportunities and increased income at the household level to adequately address the problem that already exists, much less plan appropriate action to meet future needs.

¹ Rural Poverty Portal. Rural Poverty in Rwanda. Accessed 14 May 2010. IFAD. www.ruralpovertyportal.org/web/guest/country/home/tags/rwanda#

² GAV Baseline Study 2006 SETSAN.

³ Chaiken, M.S. Wealth, Inequality, Vulnerability and Coping Strategies: Conditions of Hunger and Food Security in Nampula Province, 2007.

II. STATEMENT OF OBJECTIVES

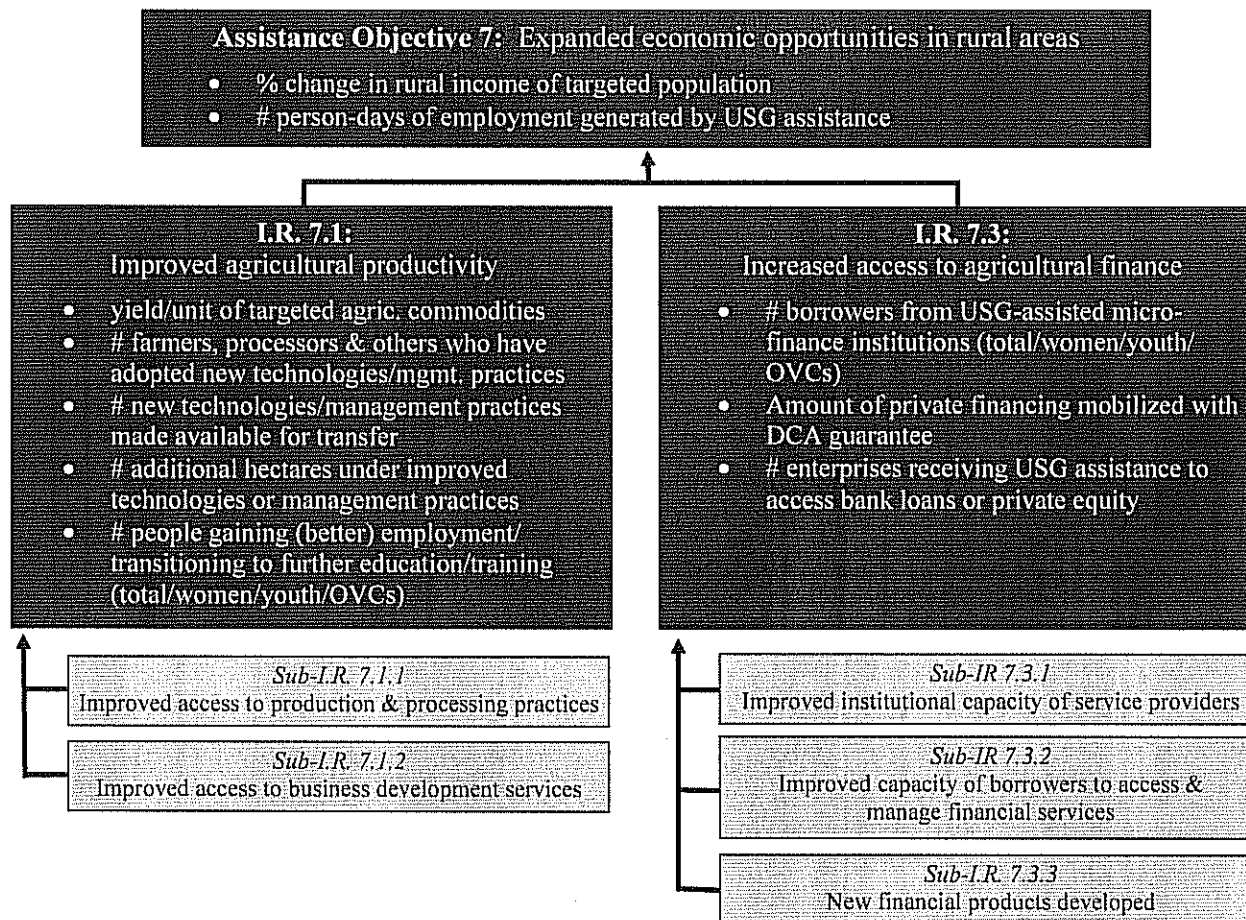
With such a large portion of the rural population of Rwanda unbanked and dependent on subsistence agriculture, decreasing rural poverty and improving rural livelihoods would be impossible in Rwanda without concurrently working to expand access to finance and financial services, empowering rural poor with advanced and/or alternative livelihood skills, and increasing food consumption. Therefore, the goal of this program is *to improve livelihoods of Rwanda's very poor, particularly women, through expansion of responsible and appropriate access to finance, increased economic opportunities and incomes, and enhanced food consumption.*

The program shall enable participants to save money from agriculture sales and other income generating activities and borrow or use accumulated savings at critical periods (for example, to purchase inputs seeds, fertilizers and in some cases labor for future agriculture cycles). It shall provide sustainable means to targeted beneficiaries to purchase more or better foods invest in better income earning strategies and/or enter into and expand participation in agriculture value chains that increase their earning potential. The Recipient shall facilitate expansion of access to financial services in rural Rwanda; as well as support the delivery of appropriate training on income earning options and use of financial services. It shall also improve awareness among the very poor of health and nutrition issues.

The IILP will be one of the major projects under the Feed the Future (FtF) Initiative in Rwanda, the U. S. Government's flagship effort to tackle the root causes of global hunger by sustainably increasing agricultural productivity to meet the demand for food, increasing incomes so the poor can meet their food and other needs, and reducing malnutrition. Specifically, the program will help achieve FtF core goals by improving livelihood and increase economic opportunities of Rwanda's very poor, mostly women, who are living on income less than \$2 per day. The program's integrated interventions will impact the beneficiaries' income streams and increase consumption of balanced and diversified food as they will have means to grow their own food, buy more food and covers other basics households' needs.

IILP shall closely link with other existing and planned FtF and Government of Rwanda's programs, leveraging expertise, technical services, and other resources provided by those programs. For example, the project shall seek linkages with USAID's post-harvest handling and storage, dairy competitiveness, and planned rural roads projects, as well as the Government of Rwanda's crop intensification, safety net, and Vision Umurenge 2020 programs.

The Recipient shall link together the Mission's health and economic growth programs to provide comprehensive support to and improve overall quality of life of the rural poor, thus constituting one of the Mission's "wrap around activities." As such, IILP shall contribute to USAID's achievement of Assistance Objective 7: Increased Economic Opportunities in Rural Areas. Specifically, it shall contribute to the objective's two IRs (diagrammed in Figure 1): IR 7.1 "Improved agricultural productivity" and IR 7.3 "Increased access to agricultural finance". The program shall also substantially contribute to the achievement of USAID's Assistance Objective 6: "Improved capacity for sustained and improved health outcomes" by helping to achieve intermediate results in improved nutrition and maternal, child and neonatal health.

Figure 1: Economic Opportunities Results Framework

Section IV: Program Elements provides illustrative activities and types of assistance that USAID believes could expand economic opportunities for Rwanda's very poor. These illustrative activities should not be self-limiting and are only given as examples of areas of concern that USAID has identified, not as a checklist of items that the applicant is required to address.

The Applicant shall provide a well-rounded and logical plan and may propose, with justification, additional and/or alternative tasks under each component if it is believed that these will better serve to achieve the results. As an annex, the Applicant is also required to provide a draft first-year work plan showing how the activities proposed for each component will be carried out and how they will complement each other in support of achieving the expected results. An illustrative Performance Management Plan (PMP), a critical tool for planning, managing, and documenting performance against set indicators, shall also be included as an annex.

III. GEOGRAPHIC FOCUS

USAID's investments in economic opportunities for poorer households will be most effective when focused on a cluster of, preferably contiguous, districts. Yet the incidence of poverty is both severe and widespread in Rwanda, making clear geographic priorities difficult to discern from available data. Two methods of prioritization were considered:

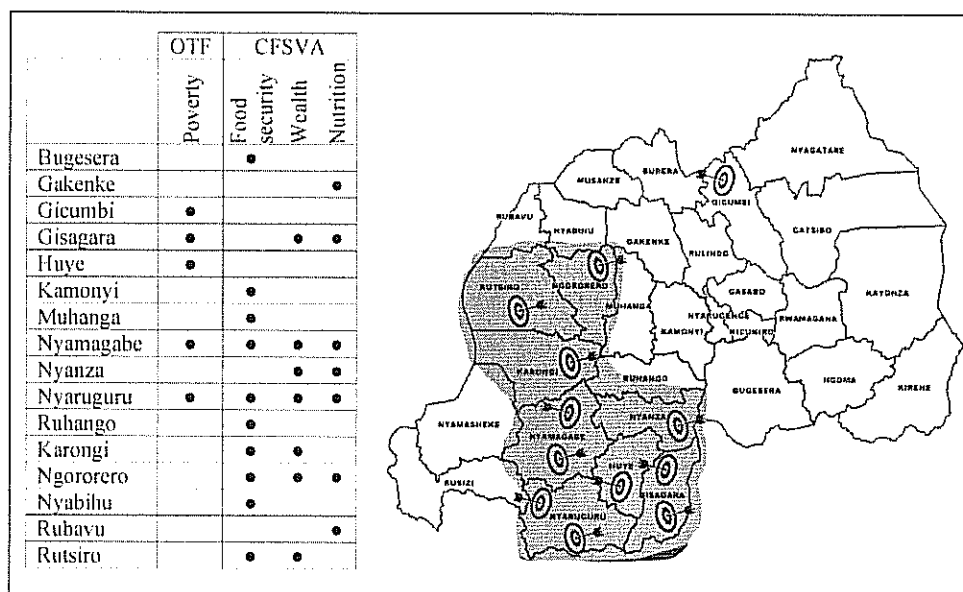
- Mapping the geographic priorities identified through relevant analyses to indicate geographic priorities; and
- Mapping the geographic coverage of complementary USAID projects – both ongoing and planned – to identify a pattern suggesting priorities for this effort.

USAID/Rwanda recently sponsored an “Assessment of Economic Opportunities for Low-Income Women and Very Poor Households” conducted by the OTF Group. This assessment undertook an analysis of various statistical measures of the depth and breadth of poverty in Rwanda that were compiled from the most recent national household survey. OTF notes the shortcomings of their methods, namely that district-level data are not statistically significant to permit comparisons among districts. However, they were confident enough in their findings to suggest five districts in the South and North as geographic priorities: Gicumbi, Gisagara, Huye, Nyamagabe, and Nyaruguru.

The “Comprehensive Food Security and Vulnerability Analysis and Nutrition Survey” led by the World Food Program measured the extent and depth of food insecurity and vulnerability as well as to identify underlying causes. This assessment undertook its own household surveying and was designed to enable comparisons at the district level (with the exception of Kigali). Geographic priorities (defined according to three dimensions of food security, wealth, and nutrition) include: Bugesera, Gakenke, Gisagara, Kamonyi, Muhanga, Nyamagabe, Nyanza, Nyaruguru, Ruhango, Karongi, Ngororero, Nyabihu, Rubavu, and Rutsiro.

Figure 2 integrates the recommendations of these two assessments and shows a clear emphasis on southwestern Rwanda, excluding Nyamasheke and Rusizi districts (the portion shaded in red).

Figure 2: Geographical Priorities from OTF and CFSVA Assessments



The geographic coverage of complementary activities and service providers, particularly those supported by USAID/Rwanda, was also considered. Ongoing activities include the SPREAD, dairy competitiveness, and *Akazi Kanozi* projects within USAID's existing Economic Growth portfolio; the *USAID Higa Ubeho* project financed by PEPFAR; and, the SAFI project implemented by CARE with

support from the MasterCard Foundation. Upcoming activities include the planned feeder roads project, post-harvest handling and storage project, LWH project in collaboration with the World Bank, and a new integrated water resources management project. The team also used the service coverage of Urwego Opportunity Bank (UOB) as a proxy in the absence of detailed information on the outreach of microfinance providers: microfinance institutions (MFIs), non-governmental organizations (NGOs), and savings and credit cooperatives (SACCOs).

Many of these activities were highly targeted (only focused on a few, often non-contiguous, districts) and demonstrated a fairly chaotic scattering of coverage areas. Accordingly, two activities (the *USAID Higa Ubeho* and SAFI projects) as well as UOB's service area were used as helpful proxies, since they represent the most complementary activities and also the broadest scopes of those projects reviewed. Combining these three activities, Figure 3 shows the most intense existing coverage (the portion shaded blue) in the northern and western areas of Rwanda.

Figure 3: Geographical Coverage of Three Complementary Activities

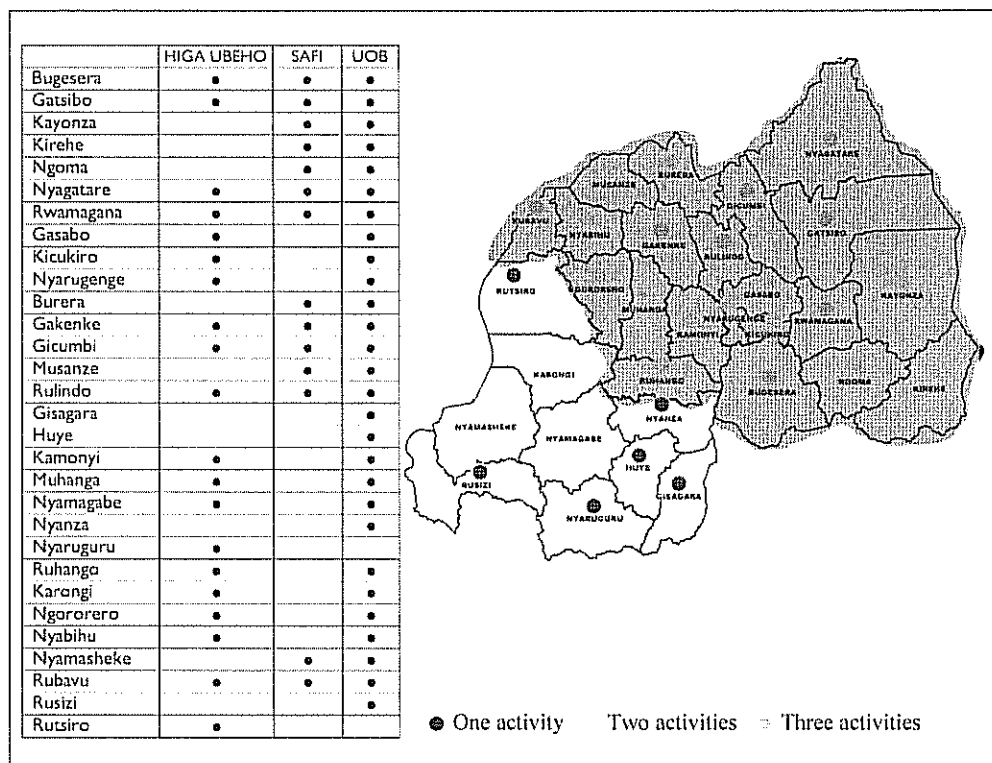
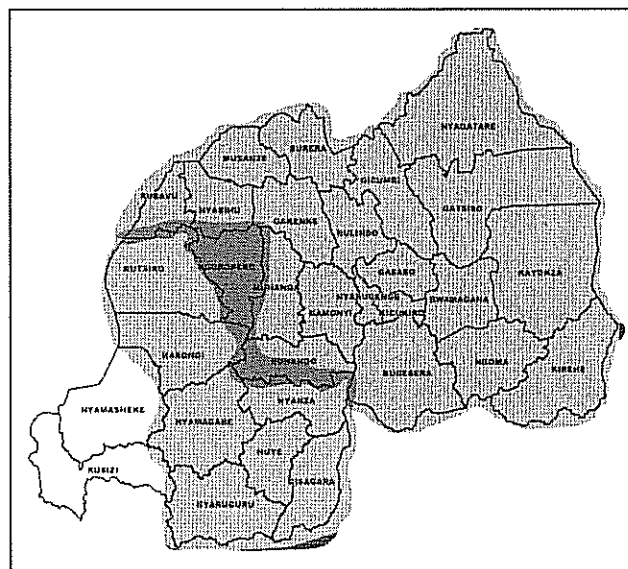


Figure 4 overlays the results of these two prioritization methods: the districts in greatest need compared against those with greatest coverage. The results are striking and unambiguous. Northern and Eastern Provinces of Rwanda seem well served by existing activities and demonstrate less need according to the two assessments. Western and Southern provinces, on the other hand, were identified as high priorities yet have relatively less coverage from existing activities. Nyamasheke and Rusizi are the two outlying districts: they have low coverage but were not identified as high priorities.

Figure 4: Overlaying the Districts in Greatest Need and Those with Greatest Coverage



Following this exercise, USAID/Rwanda decided to focus on the Western and Southern provinces, specifically including: Rutsiro, Karongi, Nyamagabe, Nyanza, Huye, Nyaruguru, and Gisagara districts—with possible consideration for Ngororero.

Concomitantly, geographical locations selection will also link and leverage opportunities for synergies with other Feed the Future programs like the rural roads, post harvest handling and storage, as well as other Government of Rwanda-supported programs like the “One Cow per Poor Family,” etc.

This geographic focus is attractive from an operational perspective. Contiguous districts permit a concentration of resources, allow for efficient management structures, and facilitate incremental expansion. While further research and consultations are necessary (to identify entry points, confirm operating costs, and consider a sequenced expansion strategy), this geographic scope provides an adequate and important foundation for program planning.

IV. PROGRAM ELEMENTS

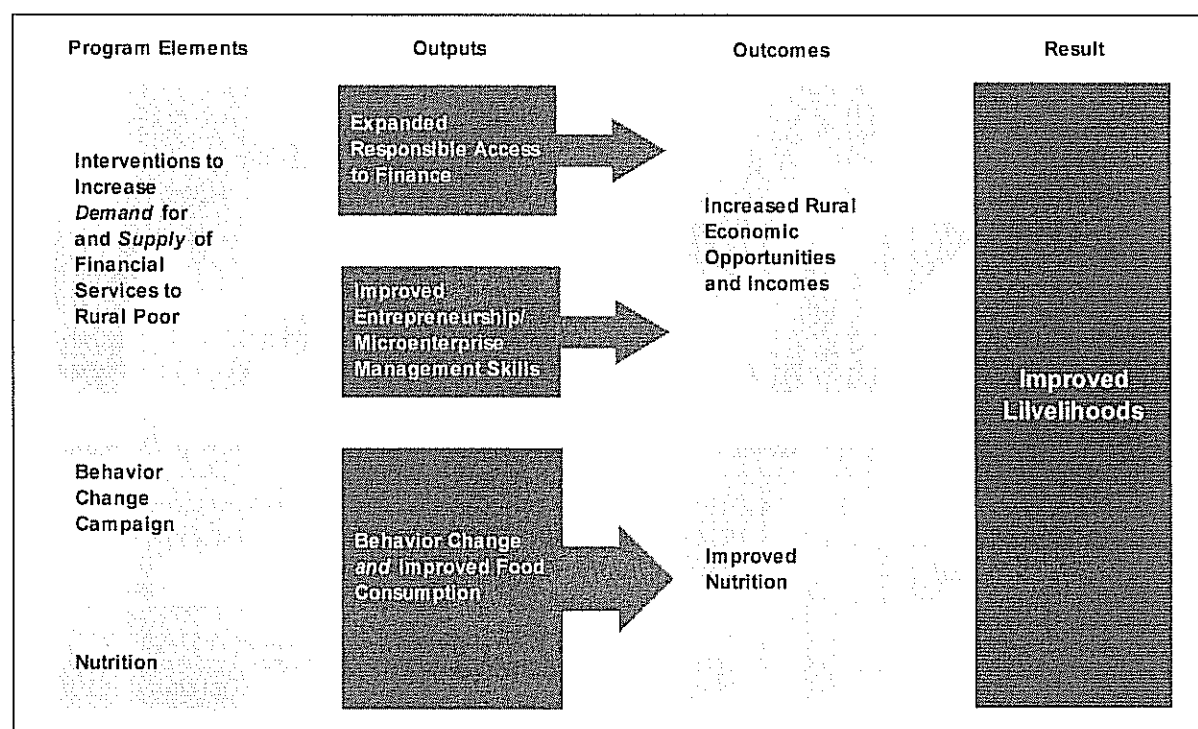
USAID/Rwanda believes it is necessary to address both the supply of and demand for financial services in the rural area. On the *demand side*, the program will facilitate prudent demand for financial services (savings, loans, micro-insurance, etc.) among targeted beneficiaries to enable them to send their children to school, buy medicines, meet social and religious needs, save up for old age, and respond to shocks and emergencies that beset their households. On the *supply side*, USAID would like to explore ways in which formal financial institutions, including microfinance institutions, might expand their outreach and develop new financial products that meet the needs of targeted beneficiaries. The program might work within the financial services value chain to improve services accessibility to the rural poor in the targeted geographical areas, increasing capacity of selected financial institutions in management and product development.

Besides designing interventions to bring the supply and demand sides together (as depicted in Figure 5), the program will stimulate increased economic opportunities amongst the rural poor and provide an

innovative social-behavior change campaign, creating knowledge of safe savings and investment practices for the very poor while raising awareness amongst providers of the poor as viable and reachable clients.

Finally, improving livelihoods of the rural poor requires not only expansion of access to economic opportunities but also improvement in food consumption by the poor. The latter involves an increase in awareness of good nutrition practices and a change in behaviors, as well as facilitates access to more nutritious food. Thus, the Recipient shall work with targeted beneficiaries from both economic opportunities side and improved nutrition side to have a lasting positive impact on the livelihoods of the rural poor.

Figure 5: Conceptual Depiction of the Program



Program Element 1: Increased *Demand* for Financial Services

According to FinScope's recent study, only 14% of the Rwandan population is banked and 52% are financially excluded. The study also showed that individuals who are involved in farming and are farming staples or beans, peas and ground nuts are most likely to be financially excluded and are least likely to save. According to the study, there still exists a high degree of institutional mistrust in Rwanda resulting from the 2006 failure of many recognized Microfinance Institutions (MFIs) while concurrently many of the poor remain unaware that MFIs, SACCOs and their services exist. Gender discrimination continues to plague women and affect their access to financial services and, with 30% of households headed by females and many of these amongst the very poor, there is still a need for female specific product development and considerations. Finally, perceptions continue (exacerbated by the institutions) that banks are for the rich and taking loans are feared and not common amongst the poor that even could have access.

The Recipient will implement a comprehensive set of interventions to empower Rwanda's very poor to seek and access financial services through a) increased financial literacy among rural poor and b) increased access to extension services and improved microenterprise management skills.

1A. Increased Financial Literacy among Rural Poor

For demand of financial services: a) education on the importance of financial services and the different uses; b) how to access financial services, and c) the benefits for improving their livelihoods. Through this education, a high degree of trust between the users of the services and the providers should be built and nurtured. Social performance assessments on behalf of the service providers will help ensure management, policies and staff incentives will facilitate the growth and continuance of this trust. Access to services should be made available at a place which is close to the intended users where they feel comfortable. Cost should be perceived as reasonable, including transaction and opportunity costs. Finally, demand must be organized in such a manner that it is possible for the financial service providers to respond and meet the demand while maintaining reasonable institutional costs burdens.

1A. Illustrative Activities:

- *Voluntary Savings and Lending Organizations (VSLOs)*: Creating new VSLOs or working with informal financial groups in the community that have potential and interest in being VSLOs. VSLOs provide their participants with mechanisms for asset building, income generation and risk mitigation. To avoid creating dependence, the program must not capitalize the savings groups in any way by providing outside funds, but instead serve as a catalyst for their formation.
- *Literacy, Numeracy and Financial Literacy* activities structured around real-life application and participant-/self-identified learning needs that have relevancy to the targeted groups through appropriate topics—building both the capacity to read, the capacity to understand management of finances, agricultural best practices and microenterprise principles with simple math applications—as well as increase the capacity of the group to self-manage. USAID will also support adult literacy and numeracy activities where financial literacy seems on its own insufficient to build financial management skills and capacity to link and deal with formal institutions.

Opportunity costs for poor and very poor women for time invested in learning or developing basic reading and numeracy skills are exceptionally high, as participation often requires compromising family responsibilities and care for children. Therefore, the program should support literacy and numeracy learning activities that minimize burdens to the participants. The curriculum should apply best practices learned in the development and implementation of other programs carried out in Rwanda, such as those of CARE, Pact, USAID's Akazi Kanoze Project, and others.

1B: Increased Access to Microenterprise Management and Extension Services

A significant majority of people are engaged in the agriculture sector and they also happen to be among the poorest segment (after the category of agricultural labor). Given the limited land-holding of the majority of people, agricultural incomes could be enhanced only to a limited extent, which may not be adequate to move many out of poverty. Therefore, entrepreneurship opportunities for livelihoods diversification will be necessary; this will also promote demand for financial services and increase household security with multiple income streams. Activities should focus on all aspects of entrepreneurship development: enterprise identification and selection, establishment and enterprise management, as well as enhancing access to credit and markets.

There is a strong correlation between increased degrees of poverty and increased risk aversion. Therefore for a successful integrated microfinance program, it will be important to first focus on enterprises that have some link to the existing or primary livelihood sources of people. The risks involved in doing something completely new may not be understood and the people may not understand the market dynamics in new product areas. Agro-based or animal husbandry based enterprises on the other hand have a ready made local market and local production base, therefore it would be relatively easier to encourage movement into these enterprises.

In its recent assessment, the OTF Group recognized the need but narrowly focused its analytical efforts on business development services (defined, as training and consulting services) and extension services. They found weak markets for these services but did not review complementary services or alternative models that might meet household needs more effectively. Training is a service that few households can afford – regardless of poverty levels. Markets for consulting services are generally only found in industries demonstrating high or prolonged growth. Traditional models of public extension services suffer from similar challenges (if they are fee-for-service) or a host of financial and management problems (if they are publicly funded).

USAID recommends that the Recipient build on existing assessments and surveys like the value chain analyses carried out by OTF, CARANA and CHF that has identify a number of specific market potential opportunities, high return on investment, relative low capital investment and other competitive advantages.

The Recipient will facilitate inherently sustainable and scalable embedded services in target geographic areas where service providers either already operate or where service providers are willing to go with help locating markets. A highly innovative model operating in western Rwanda is instructive for understanding how an embedded service model might work. The One Acre Fund (known locally as Tubura) has developed an integrated model for embedding the cost of providing extension services and farmer training into its input supply services. Moreover, **One Acre Fund** has a structured model for enrolling communities in the program, identifying community-based trainers, orienting and building their capacity in a continuous fashion, and managing and troubleshooting their activities. The end results are both substantial input sales to loyal farmers but also dramatic increases in farmer productivity, sales, and profitability. While this model is centered on One Acre Fund, a not-for-profit “social enterprise,” experience with a similar model in Zambia shows that it is equally appropriate for local private-sector operators.

In limited cases, after thorough assessment and in consultation with USAID, the program may provide extension/business development services directly. However, to ensure sustainability the program should develop a model of service provision where interested communities or other private partners provide extension services and commercialization of necessary inputs for agriculture/livestock after sessions of practical training, demonstration and mentoring. For example, a model observed as appropriate and successful by USAID/Rwanda and implemented by Land O’Lakes is the Dairy Sector Competitiveness project with the People Living with HIV/AIDS (PLWHA)⁴.

⁴ Land O’Lakes’ sub-grantee, ABS/TCM, trained farmers in feed production for their cows. The farmers got a small quantity of seeds and feeds for testing in their own plots and farms. Once the testing revealed good results (i.e., increased milk production), the project supported micro grants to start up input supply businesses with the project-trained pioneer farmers, who now provide regular training to farmers on the use of inputs.

USAID/Rwanda prefers strategies developing women as agricultural extension agents. A scheme encouraging women extensions agents will both increase income opportunities for women as well as ensure a gender balance and perspective in service provision.

Several value chain researches have been completed recently by various organizations, including USAID's post harvest project, CHF, and others. These researches should guide IILP's training activities that will target development of entrepreneurship capacity and activities to expand access to extension services.

1B. Illustrative Activities:

- *Business training* to help the very poor consider choices with investing in income streams, using their assets and participating in value chain opportunities.

For those directly in agriculture production: Focus on enhancing agricultural productivity and economic returns from agriculture by encouraging extension services, better market access, and credit supply. The Recipient will work in close coordination with the departments of agriculture and animal husbandry to take advantage of their extension programs and facilitate extension services for the program participants. The Recipient will also work with value chain participants, like seed and fertilizer suppliers, traders, etc. to enhance supply of these inputs closer to rural areas and with credit streams available for the farmers. This will assist the producers to use these inputs more effectively and create many enterprise opportunities.

For those who would like to move out of or supplement agriculture income: GOR's "One cow per family" program will give a good boost to the dairy and animal husbandry sector, and IILP could explore and encourage economic opportunities related to this development, like increased trading of milk and dairy products, running milk collection centers and chilling plants, processing enterprises, transportation, trading of fodder and cattle-feed, etc.

Facilitate the development of embedded services: The Recipient will work with existing service providers (such as input suppliers) and assist firms (such as traders, processors, or wholesalers) in delivering requisite training and support services. For the service provider or buyer, providing these services represents good customer service and helps to build trust and loyalty. For the poor household, there is no explicit charge for the service as it is built into the cost structure of products they are buying (in the case of inputs) or deducted from the purchase price of their production (in the case of buyers).

Direct service delivery: Prior to initiating implementation in a new geographic area, the Recipient will undertake a rapid assessment to determine the viability of the embedded approach. If the assessment is unable to identify any options for facilitation of embedded service delivery, in consultation with USAID, the Recipient will proceed with direct service provision. However, to ensure sustainability, the program should develop a model of service provision in which interested communities or other private partners provide extension services and commercialization of necessary inputs for agriculture/livestock after sessions of practical training, demonstration and mentoring. For example, as a complement to promoting informal savings and lending groups, the program can provide a mix of business training, extension, market literacy, mentoring, and market facilitation services to VSLO members based on their demand and preliminary market analyses.

Program Element 2: Increased *Supply* of Financial Services to Rural Rwanda

A study of the supply of financial services in Rwanda has been recently conducted as well as a skills census in the financial sector. The findings will inform the design of DFID's comprehensive Access to Finance Rwanda (AFR) Program a comprehensive program which will address the constraints faced by financial institutions by expanding the scale and the depth of their outreach through interventions at micro, meso, and macro levels. It will constitute an important new platform for facilitating the expansion and diversification of financial services to the rural and urban poor through Micro, Small and Medium Enterprises (MSMEs) modeled on similar programs in Kenya and Tanzania. It will have the ability to support a wide array of initiatives under professional management by a specialized service provider guided by an advisory board.

The Recipient will work closely with AFR operating unit to complement its interventions and avoid duplication especially on the micro level where AFR might not have direct impact and at the same time focus on activities that will have a direct, significant impact on access to finance for the targeted beneficiaries.

In targeted districts, the Recipient will identify financial service partners who have expressed a desire to target IILP beneficiaries and show a commitment to manage accordingly. Potential MFIs', Savings and Credit Cooperatives' (SACCOs)' and, possibly, bank partners' management systems, accounting and internal controls, human resources, etc. will have their capacity to manage a program serving the targeted rural poor assessed. The Recipient will also assess: a) alignments of the organizations, b) goals for the partnership, and c) governance and board commitment to the partnership, to ensure the potential formal institutional partner is managing in the best interest of the poor. Chosen financial service partners will be used to expand financial services to rural areas through development of appropriate new services designed to reach the rural poor.

The Recipient will explore various funding structures to support product and curriculum development and provide technical assistance to these formal financial institution partners. In-kind technical assistance-with participant shared costs and contributions are effective when ensuring recipient commitment to institutional behavioral change. Additionally, peer-to-peer reporting and participating in "lessons learned" sessions with cohorts as well as mini-conferences and industry sharing events are ways to stimulate positive competitiveness and achieve wider impact for increased and improved product delivery to the target financial client.

The Recipient will focus on integrating the poor into formal systems on a demand-driven basis and shall encourage formal systems to view the extremely poor as potential markets.

Illustrative Activities:

- *VSLO Capacity Building:* Building the capacity of promising VSLOs to manage their savings, repayment of bad-debt, and level of investment in economic activities. Training of VSLOs in micro-enterprise/agricultural practices and financial literacy to ensure that they are able to make sound investments.
- *Linkages Between VSLOs and Financial Institutions:* Linking viable savings-led groups with formal financial services and innovations to give VSLO clients access to higher-level financial services, including greater loan amounts to groups' members, insurance and a more secure place to save their money. Development of sustainable linkages between VSLOs and formal financial institutions should ensure that rural poor can access savings, lending, insurance, and other

services targeted to their needs; special emphasis should be placed to ensure the linkages increase women participation and meet the specific needs of agriculturalist in each market.

- *Financial Product Development and Technical Assistance to Formal Financial Service Providers:* Technical assistance to formal financial service partners (MFIs, SACCOs, and social-mission banks) to develop appropriate products and services that meet the unique needs of the target population (poor and very poor, women, agricultural) but structured so as to best fit in the servicing institution's portfolio in a sustainable manner. In addition, review and strengthen the financial literacy curriculum and practice of participating institutions.

Note: There is a discernible difference among the Umurenge SACCOs as regards management and community authority engagement, interference, or capacity to understand best practices. Engagement with Umurenge SACCOs must be managed carefully to allow the VSLOs and Umurenge SACCOs to coexist or for the former to exist within the latter.

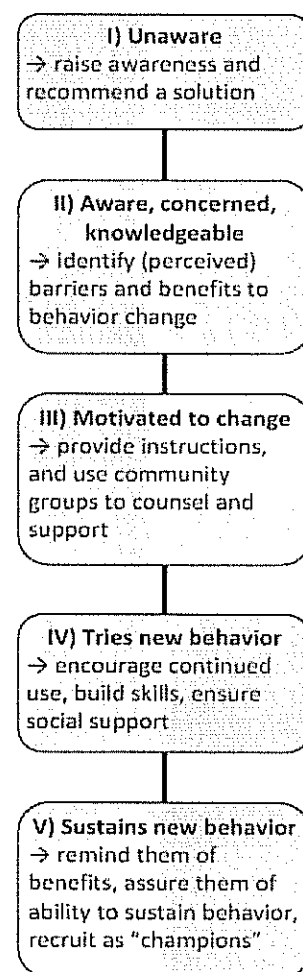
Program Element 3: Behavior Change and Social Marketing

In line with IILP's goals of increasing demand and in addressing the gaps in both awareness and understanding of available financial services, the Recipient will employ proven behavior change methodologies to systematically progress communities along the stages of change continuum (see Figure 6) in order to ensure lasting, positive impact. This should include conducting a preliminary baseline survey to better understand where targeted beneficiaries may be along the continuum. This survey will form the design/prioritization of interventions and the monitoring and evaluation plan, and serve as the foundation for the design of the behavior change campaign.

In addition, IILP should track progress of the campaign by conducting a mid-line and end-line survey to measure the change in knowledge, attitudes, and practices of the target beneficiaries regarding use and access to financial services.

Behavior change theory tells us that key to affecting new or different practices is the use of simplified messages about a small number of changes that are repeated often. The behavior change campaign will aim to complement the proposed interventions to improve the supply of financial services by addressing the demand (in local language?) by:

- First identifying and segmenting target groups based on their level of awareness, willingness and motivation to change, and perceptions of associated risks/costs or benefits/value of the desired behaviors (for example participating in savings groups or accessing BDS);
- Designing and presenting messages that resonate with the segments identified, address the risks they perceive, and are compatible with each group's values, past experiences, and perceptions of their ability (in Rwanda this may include awareness but absence of trust of MFIs, physical barriers such as distance or gender discrimination, unaffordable costs, lack of know-how about agricultural practices, or social taboos, etc.);
- Disseminating the messages through a range of appropriate forums, including billboards/banners, radio dramas, text messaging, village forums, and community leaders/social influencers, as well as MFIs and BDS providers through their marketing and outreach initiatives; and
- Introducing messages in phases, recognizing that different segments may be at different stages of the continuum at different times. Phasing the roll out will also help a larger number of beneficiaries adopt and sustain new practices by, for example, allowing the more risk-averse members to follow early adopters later on after having seen demonstrated success. These early adopters can also be recruited as "champions" or role models in order to support and sustain the campaign.



Social marketing is the utilization of marketing theories and techniques to influence behavior in order to achieve a social goal. It is similar to commercial marketing, except that its goal is not to maximize profits or sales; the goal is a change in behavior that will benefit society and, specifically, in the end help to increase economic opportunities in rural areas. At the core of social marketing are the 4 Ps common to a good marketing mix—product, price, place and promotion. Social marketing uniquely leverages customer insights, behavioral science and marketing to create, communicate and deliver conditions that make the target behaviors easier and more rewarding for the target audience to perform. To motivate people to take an action, one must understand the world from their perspective—what do they want, struggle with, care about, and dislike?

The program can use the bases of social marketing to identify what the rural poor truly view as a benefit and what as a barrier in financial services. Social marketing, more successfully than commercial marketing, can be used to effectively address the need for savings behavior change and increased responsible and safe access to finance by the very poor and risk adverse. An effective design incorporating social behavior change will apply a customer-based social marketing approach to effectively connect poor customers who want financial services with appropriate, accessible and affordable products and services in a manner that increases trusts and builds. The Recipient will assist microfinance institutions to identify and address key barriers—real and perceived—that poor people face in utilizing currently available financial services while increasing their awareness of the very poor as

reachable and viable clients. The Recipient will also develop and execute tailored, integrated marketing strategies that promote the availability, security and benefits of saving with participating formal financial institutions. An innovation proven effective in other sectors is rural radio programming, and the program could include a weekly serial drama with follow-on Q&A on savings, credit, micro-insurance, etc.

Program Element 4: Health and Nutrition

Since 1998, Rwanda has experienced tremendous economic growth, averaging nearly 6% per year. Agriculture is the most important economic sector: it provides employment for 87% of the population and grew 15% in 2008. Yet this growth has not translated into substantial improvements in the lack of nutrition. There are many determinants of under nutrition in Rwanda, caused by a multitude of factors that will require a comprehensive response. Risk factors for chronic under nutrition in Rwanda are poverty and poor food consumption. These root causes interplay with more immediate causes such as inadequate feeding practices, health care, and water and sanitation—no one factor causes under nutrition alone.

Lack of food availability, while an important cause of food insecurity, is not directly linked to lack of nutrition in Rwanda. Low production zone Bugesera, for example, has the lowest prevalence of stunting in the country (47%). Similarly, Gakenke, an area of high food production, has a 60% stunting prevalence—the highest in the country. The chart below describes the multitude of factors leading to under nutrition in Rwanda. In some geographic areas, under nutrition is more directly linked to shocks, household vulnerabilities, and poor health care access (for example in Nyanza, where the prevalence of acute under nutrition is highest as a result). In other geographic areas, income poverty and lack of access to food are among the primary causes.

In partnership with the GON and other donors, the USG's comprehensive nutrition strategy targets vulnerable population during the development window of opportunity – “minus 9 to 24 months.” By the end of 2014, USG will provide resources to achieve the following nutrition outcomes in Rwanda:

1. 80% coverage of a national nutrition program
2. 1 million children reached with nutrition programs
3. 20% reduction in child stunting
4. 25% reduction in child underweight
5. 25% reduction in maternal anemia
6. 30% reduction in child anemia

In this context, USAID expect IILP to contribute to achieve the USG outcomes especially the last four mentioned above. To reach these objectives, IILP will, among others activities, maximize synergies in implementing nutrition and household food security interventions to distill discernible impacts from increased income levels and agricultural services (i.e., dietary diversity scores and months of adequate food provisioning). However, it should be clear that this component realization is subject to availability of funds. In case, the funds are available the nutrition activities would not start until Year 2.

Illustrative Activities:

- Add-on trainings with target groups receiving technical assistance under the other IILP components;
- Education/raising awareness for better nutrition through community health/nutrition extension workers;
- Team-tagging of health/nutrition and agricultural extension workers;
- Literacy-based health and nutrition materials;

- Self-led group discussions;
- Group cooperative labor schemes whereby the individual's efforts are decreased while on-farm productivities increase.

USAID recommends the recipient to draw critical linkages with other programs (USG funded or other) and avoid duplication with ongoing projects. For example, the USAID is currently supporting nutrition programs that contribute to the National Multi-Sectorial Strategy to Eliminate Malnutrition in Rwanda that includes social marketing activities.

V. PROGRAM OUTREACH

The Recipient will target a spectrum of the rural poor's needs, strengthening their economic decision-making capacity and expanding long-term responsible access to financial services. Intervening across all its elements, the Recipient shall create economic opportunities for at least 75,000 rural poor, at least half of whom will be women.

VI. MONITORING AND EVALUATION

Monitoring and evaluation programs should be utilized in order to assess the impact of the program interventions and whether or not objectives are being achieved and if they should be adjusted. The Recipient will input all required information into the Geographical Information System (GIS) maintained by USAID's M&E Management Systems (MEMS) Project on a quarterly basis.

The Recipient will provide a proposed PMP as part of a response to this RFA. The PMP will be reviewed as part of the selection process, and finalized not later than 45 days after award.

The PMP should provide the following:

- The recipient's data collection procedures (e.g. how often data is collected, who collects the data, who analyzes the data collected, controls in place to safeguard data);
- Data quality information for all relevant indicators (USAID proposed/Recipient proposed indicators). Data quality includes: a precise definition of the indicator, unit of measure, and disaggregation information to include women, youth, members of vulnerable populations and people with disabilities;
- Life of activity targets for each relevant indicator for each fiscal year of this program (see data table); and
- The Recipient's procedures for ensuring the data quality of sub-recipients' reported data.

The Recipient will implement and manage a process of assessing and reporting that supports reaching the program outcomes while strengthening impact. The program monitoring and evaluation plan will be designed to disaggregate by sex, allowing for the full capture of program impact on women. The program will also track nutrition related behavior change and household food security to distill discernible impacts from increased income levels, agricultural services (extension, best-practice dissemination, improved input supplies and market relationships) and household security.⁵

During the project start up phase it will be important to define the standard evaluation objectives and questions based on a review of the program's objectives, design and logistics. Interviews should be conducted with key contacts from relevant stakeholders and organizations. Baseline assessments should be conducted to help ensure that all relevant and required data are complete and that all indicators can be

⁵ Further research needs to be done to identify the most appropriate of food security measures but dietary diversity scores and months of adequate food provisioning are being considered.

presented in a uniform format. Focus group discussions with the relevant financial service providers as well as the potential program beneficiaries should be conducted in each region where the program will focus its implementation. Two field evaluation/impact study shall be conducted, one mid evaluation after two years of project implementation and a final impact evaluation at the end of the project. The results will allow for learning-based adjustments to be made in the program and/or for the purpose of adjusting future programming. The timing of the studies shall be decided in accordance with USAID/Rwanda, while taking into account the policy environment. It will be important to ensure that evaluation results, if possible and appropriate, are made available in time for important policy-related decisions.

Other approaches to monitoring and evaluation under the program could include utilization of stakeholder participation in monitoring and evaluation planning and implementation. Such approaches to monitoring and evaluation can provide a larger sense of ownership of the program. Participatory monitoring and evaluation has been shown to build a greater sense of ownership and increases the likelihood that the program will have a greater and more sustainable impact in the target communities. The program's success will greatly depend on the information provided and learned from the beneficiaries and the different stakeholders of the program, as they can provide the best source of information on implementation problems (where products are missing, why certain services are not currently being provided, issues involving logistics, etc.) and help shape the program actions and logistics.

VII. GUIDING PRINCIPLES

In each of the project objectives listed above, the implementer's approach should be guided by the following principles:

1. *Coordination and Resource Leveraging:* Work in close coordination and collaboration with the GOR, other donors, USAID/Rwanda implementing partners, local partners, and other relevant stakeholders. Clearly demonstrate active participation, responsibility and benefits-sharing across USG programs and implementing partners.
2. *Public-Private Partnerships:* Seek, develop, and maintain private and/or public sector partnerships that augment project interventions and/or sustain them beyond the life of the project.
3. *Gender Equity:* Pursue an integrated approach with an effort to assess the different implications for women and men within all activities, all areas and at all levels of the project. Analyze and consider the socio economic environment in which women sustain their livelihood and make programming decisions to ensure that women benefit from the project's interventions.
4. *Sustainability:* Use existing service providers, whenever possible, to ensure that interventions sustain beyond the project life.
5. *Flexibility:* Be ready to adjust, in consultation with the AOTR, its interventions/ approaches depending on how the DFID's Access to Finance Rwanda Program rolls out (specific activities and geography of that program).
6. *Environment:* Include environmental sustainability as a central consideration in designing and carrying out project interventions. Identify the potential environmental impacts of each project activity and adopt appropriate environmental safeguards prior to a final decision to proceed. Comply with USAID's and the Government of Rwanda's environmental regulations. In case of conflict between host country and USAID regulations, the Recipient will seek advice from the USAID Legal Advisor. Activities awarded under this program will be guided by an initial environmental determination conducted by USAID/Rwanda. No activity funded under this

procurement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). The applicant should review the USAID's Environmental Guidelines for Small-scale Activities in Africa while preparing proposals (<http://www.encapafrica.org/SmallScaleGuidelines.htm>).

VIII. REPORTS AND DELIVERABLES

Performance Monitoring Plan (PMP)

The Recipient will submit a draft Performance Monitoring Plan (PMP) (i.e., a tool to plan and manage the process of monitoring, evaluating, and reporting progress towards achieving project objectives) as part of the proposal. A revised draft PMP, which takes into account USAID's input, will be submitted to the AOTR within 30 days of the effective date of this agreement. The PMP will cover the entire period of the agreement and shall include, but not necessarily be limited to, the following: (1) the results to be achieved by the project; (2) the indicators to be used to measure achievement of the results; (3) the method of data collection to be used to obtain the indicator data and the frequency at which each shall be collected (monthly, quarterly, semi-annually); and (4) targets for each indicator year. USAID will review the revised draft PMP and provide comments/suggestions within 15 days of receipt. The Recipient will then submit a final PMP to the USAID AOTR for approval not later than 15 days from receipt of USAID's comments/suggestions.

Annual Work Plan

The Recipient will prepare for the AOTR's review and approval annual work plans, setting forth in reasonable detail the Recipient's plans for pursuing activities set forth in this agreement. The work plan should also delineate project work by district, where appropriate, and specify the cost of each activity. The draft work plan covering the first year of the project shall be provided to USAID as part of the proposal. A revised first year work plan, which takes into account USAID's input, shall be submitted to the AOTR for his/her approval no later than 30 days after the start of the project. Draft work plans for subsequent years shall be submitted to the AOTR at least 45 days prior to the start of each corresponding project year. As may be necessary due to circumstances beyond the Recipient's control, and subject to the AOTR's approval, the annual work plan may be amended and benchmarks added, deleted, or revised from time to time.

The annual work plan will include a schedule of activities and tasks planned to be conducted, and the inputs planned to be provided by the Recipient, including a description of planned activities and tasks and an estimated budget – organized by component and, as appropriate, by sub-component. The work plan should also break out activities by district. The annual work plan must be linked to the performance indicators set forth in the PMP.

The Recipient will incorporate any required revisions into a final annual work plan no later than 15 days after receipt of such comments. The USAID AOTR will provide a written approval of the final work plan to the Recipient. Should revised activities, performance indicators or performance targets become necessary, the Recipient shall submit a revised work plan to USAID for approval.

Quarterly Performance Reports

The Recipient will submit brief quarterly performance reports to the AOTR within 30 days of the end of each financial quarter reflecting results and activities of the preceding quarter. The report will describe the plan for the reporting period (as set forth in the annual work plan) and report on progress to date for PMP indicators for that quarter. A description of the specific accomplishments of the Recipient and any short-term technical assistance should also be provided, including information on all activities, both ongoing

and completed, by component, and geographically by district. The quarterly reports shall highlight any issues or problems that are affecting the delivery or timing of services provided by the Recipient. These reports should summarize project progress against tasks and benchmarks, including tasks assigned through technical directives and identify implementation issues that may inhibit or enhance Recipient performance. The reports should also discuss interaction with counterparts, and any necessary alterations to the work plan and initial timetable.

In each quarterly report, the Recipient should include success stories, which provide information that demonstrates the impact that the activity/program has had during the reporting period through materials such as stories, quotes and photos. These *success stories* shall also be submitted separately via the Agency's Telling Our Story website (<http://www.usaid.gov/stories/>). Note: the Mission's Communications Officer can assist in editing stories prior to their posting on the website.

As agreed upon by the AOTR, quarterly reporting shall begin after the end of the first financial quarter from the agreement award. The quarterly report is due to the AOTR on or before the last day of the month following the end of each quarter. The AOTR may make exceptions to this schedule depending on when exactly the agreement is signed; for example, if the project begins in November, the time remaining in Q1 may be incorporated into the quarterly report for Q2.

Quarterly Reports Schedule for Submission:

USG Fiscal Year Q1: October 1 to December 31	Quarterly Report due January 31
USG Fiscal Year Q2: January 1 to March 31	Quarterly Report due April 30
USG Fiscal Year Q3: April 1 to June 30	Quarterly Report due July 31
USG Fiscal Year Q4: July 1 to September 30	Quarterly Report due October 31

Quarterly Financial Reporting

The Recipient will submit electronic copies of Financial Reports (quarterly SF 425 and final SF 425) in keeping with 22 CFR 226. The SF 425 must be submitted via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). In addition, the original and two copies of all final financial reports shall be submitted to M/FM and the AOTR.

Project Annual Report

For the project annual report, the Recipient will submit a draft report, capturing results against the project PMP in a format agreed to by the AOTR. The AOTR will provide comments within 15 days, and the Recipient will then submit a final draft to the AOTR for approval within 15 days of receipt of the AOTR's comments. The report shall include an annual inventory list of all assets/equipment purchased or otherwise acquired for the performance of the agreement to date, the condition of each item, and other specifications. The period for this report should commence on the effective date of the award (as opposed to the calendar year).

Partner Reporting System (PRS)

On the quarterly, semi-annual, and annual bases, the Recipient will enter results for each indicator on the approved PMP and upload quarterly reports onto the Mission's online Partner Reporting System (PRS). On the annual basis, the Recipient shall also enter targets, approved by AOTR, for the next two fiscal years. The PRS is maintained by Social & Scientific Systems (SSS) as part of the Mission's Monitoring and Evaluation Management Service (MEMS) project. Data from the PRS are used to by the Mission to

inform U.S. policy, programming, and program performance reviews, including but not limited to the Mission's Performance Plan and Report (PPR), Operational Plan (OP), PEPFAR Annual Performance Report (APR) and Country Operational Plan (COP), and PMI Annual Report and Malaria Operational Plan (MOP).

Annual Microenterprise Results Reporting (MRR)

The Recipient will submit program data related to microfinance, business development services, and policy advocacy and research activities implemented with USAID funding to the MRR online reporting system (<http://www.mrrreporting.org>), which tracks USAID's progress towards Congressionally-mandated funding targets, as well as monitors the results of USAID assistance to the microenterprise sector. The database is used as a management tool to support Agency decision-making, while informing the U.S. Congress and the public on how resources have been used to support the microenterprise sector.

MRR indicators are the following:

Enterprise Development:

- Number of microenterprises assisted (disaggregated by sex of owner/operator, youth status of owner/operator, rural/urban location, and operating with/without subsidy)
- Number of employees of microenterprises assisted (disaggregated by sex)
- Value of gross sales/revenue or net income of microenterprises assisted
- Value of financing secured by microenterprises
- Poverty status of microenterprises assisted using poverty loan proxy (\$404 or less)

Microfinance:

- Total value of loans outstanding (principal) of all microenterprise lending programs at year end.
- Number of individual loans outstanding at year end, including loans to individual clients of village banks (disaggregated by gender, youth status, rural/urban)
- Total value of savings deposits held at year end (disaggregated by voluntary/mandatory)
- Number of active savers at year end (disaggregated by gender)
- Portfolio at risk: Outstanding balance (unpaid principal) of loans with payments overdue more than 30 days divided by the amount of loans outstanding at end of fiscal year, expressed as a percentage
- Loan loss rate: Amount of loans written off during the past year as a percentage of the average amount of loans outstanding over the past fiscal year.
- Operational Sustainability Percent: For the past fiscal year, what is the value of (Income+Fees) / (Operating Cost + Cost of Funds)?
- Financial Sustainability Percent (Income+Fees)/(Operating Costs + "Adjusted" Financial Costs)
- Total value and number of poverty loans outstanding at year end (\$404 or less)

Short-Term Consultant Reports

Unless otherwise agreed to in writing by the AOTR, the Recipient will submit within 10 days following departure of a Consultant, a brief written report that describes the purpose of the consultancy, progress made, and any observations to be shared; identifies issues and/or problems encountered; and details expected follow-on activities by resident Recipient staff, as well as actions to be performed by participating counterparts.

Technical Reports

The Recipient will prepare and disseminate, as directed in the annual workplan and by the AOTR, other reports and deliverables needed to accomplish the purpose of this agreement, such as technical reports prepared by in-country staff and short-term consultants, studies of policy and other issues, products,

sectors, markets, technologies, etc.

TraiNet (annual) Report

TraiNet (annual) reporting: Per ADS 253, the Recipient is required to report on all USAID-funded trainings either in country, third country or the U.S. The Recipient must submit the relevant standard form to the AOTR for each USAID-funded training event, workshop, or study tour for inclusion in the Agency's web-based TraiNet database, which holds data regarding foreign nationals who receive instruction funded by USAID. The forms can be obtained from the AOTR or the Mission Program Office.

The Recipient will provide timely responses to requests pertaining to the annual PEPFAR country operational plan (COP), malaria operational plan (MOP), and operational plan (OP) and subsequent semi-annual reports.

Closeout Report

Six months prior to the completion date of the agreement, the Recipient will submit a demobilization plan for the AOTR approval. The demobilization plan shall include a) draft property disposition plan, b) plan for the phase-out of in-country operations, c) delivery schedule for all reports or other deliverables required under the agreement, and d) timetable for completing all required actions in the demobilization plan, including the submission date of the final property disposition plan to the Agreements Officer.

Final Report

The final performance report is a detailed report which summarizes the accomplishments and impact in relation to the expected results, in accordance with the approved PMP. It should contain a three-page executive summary, an index of all reports and information products produced under this agreement, and should discuss the following:

- The project impact as compared to baseline conditions and data;
- A description of all institutions and organizations worked with in connection with project components and an evaluation of their strengths and weaknesses;
- Problems encountered, objectives not fully achieved and why, and lessons learned.
- Incorporation of any additional/available evaluative data compared to project results and any explanatory background.

The completion report may suggest ways to resolve identified constraints and provide recommendations for follow-on work that might complement the work completed under the agreement. The AOTR will provide written comments, and the Agreements Officer may likewise add written comments, which the Recipient shall address in revising the draft and submitting a final completion report. The final completion report should also be accompanied by a CD with select project photos and captions and a CD with all project deliverables.

The report shall be submitted no later than 30 days past the end-date of this agreement as follows:

- The original and one copy to M/FM, the Agreement Officer, and the AOTR and
- One copy, in electronic to the following: (a) Via E-mail: docsubmit@dec.cdie.org; (b) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210 Silver Spring, MD 20910, USA; or (c) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

IX. ENVIRONMENTAL COMPLIANCE

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA. The applicant should review the USAID's Environmental Guidelines for Small-scale Activities in Africa while preparing proposals (<http://www.encapafrika.org/SmallScaleGuidelines.htm>).

In addition, recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

No activity funded under this program will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

USAID/ Rwanda anticipates that activities under this program are covered by an Initial Environmental Examination (IEE) covering Rwanda's activities under the Feed the Future Initiative and USAID/Rwanda determined that a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award. The recipient shall prepare an environmental mitigation and monitoring plan (EMMP) plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP shall include monitoring the implementation of the conditions and their effectiveness.

As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Agreement Officer Technical representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this program to determine if they are within the scope of the approved Regulation 216 environmental documentation. If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

In all sub-agreements under this award the Recipient should include in the SOW the requirement to include an Environmental Review Form (ERF) or Environmental Review (ER) checklist using impact assessment tools to screen grant proposals to ensure the funded proposals will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and

reporting. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be funded is not well enough known to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded any adverse impacts are expected to be easily mitigated. Implementation of sub-grant activities cannot go forward until the ERF or ER checklist is completed and approved by USAID. The Recipient shall be responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented.

USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. The Recipient should therefore include as part of the proposal their approach to achieving environmental compliance and management. Specifically:

- The Recipient's approach to development of the EMMP for the program.
- The Recipient's approach to developing and implementing an IEE or EA or environmental review process for subawards.
- The Recipient's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.
- The Recipient's illustrative budget for implementing the environmental compliance activities.

SECTION D - CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANTS

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANTS [1][2]

[To be submitted as part of an Applicant's cost application. To be signed by an authorized agent of the applicant at the end of this Section D.]

The following certifications, assurances and other statements are required from both U.S. and non-U.S. organizations (except as specified below). The required certifications, assurances and other statements follow:

- a. For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**. This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States;
- b. A signed copy of the certification and disclosure forms for "Restrictions on Lobbying" (see **22 CFR 227**);
- c. A signed copy of the "Prohibition on Assistance to Drug Traffickers" for covered assistance in covered countries, as detailed in **ADS 206.3.10**;
- d. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference **AAPD 04-14**;
- e. When applicable, a signed copy of "Key Individual Certification Narcotics Offenses and Drug Trafficking" (See **ADS 206**);
- f. When applicable, a signed copy of "Participant Certification Narcotics Offenses and Drug Trafficking" (See **ADS 206**);
- h. All RFAs must include the **Survey on Ensuring Equal Opportunity for Applicants**; and
- i. All applicants must provide a Data Universal Numbering System (DUNS) Number (see **Federal Register Notice Use of a Universal Identifier by Grant Applicants**).

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

PART I: CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website :

<http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm> .

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant

targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II: KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assister, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III: PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART IV: CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING."

Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:

"[Recipient's name] certifies compliance as applicable with the standard provisions entitled "Condoms" and "Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking" included in the referenced agreement."

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

PART V: SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFAs must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

PART VI: OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic) _____
 QUANTITY _____
 ESTIMATED UNIT COST _____

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION _____
 QUANTITY _____
 ESTIMATED GOODS _____
 PROBABLE GOODS _____
 PROBABLE (Generic) _____
 UNIT COST _____
 COMPONENTS _____
 SOURCE _____
 COMPONENTS _____
 ORIGIN _____

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION _____
 QUANTITY _____
 ESTIMATED _____
 PROBABLE _____
 INTENDED USE (Generic) _____
 UNIT COST _____
 SOURCE _____
 ORIGIN _____

(f) **Supplier Nationality.** If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE SUPPLIER	_____
NATIONALITY	_____
RATIONALE (Generic)	_____
UNIT COST (Non-US Only)	_____
FOR NON-US	_____

(g) **Proposed Disposition.** If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION(Generic)	_____
QUANTITY	_____
ESTIMATED UNIT COST	_____
PROPOSED DISPOSITION	_____

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide past performance information requested in the RFA.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non- color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ CFDA Number: _____

1. Does the applicant have 501(c)(3) status?

☐ Yes ☐ No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

☐ 3 or Fewer ☐ 15-50
☐ 4-5 ☐ 51-100
☐ 6-12 ☐ over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

☐ Less than \$150,000
☐ \$150,000 - \$299,999
☐ \$300,000 - \$499,999
☐ \$500,000 - \$999,999
☐ \$1,000,000 - \$4,999,999
☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes ☐ No

5. Is the applicant a non-religious community based organization?

☐ Yes ☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes ☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes ☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.**

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.